

# **EMGT 835 FIELD PROJECT:**

**Unit Leadership Development Program  
and Evaluation for P Division**

**By**

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To Todd, who continually encouraged and supported me.

## **EXECUTIVE SUMMARY**

Division P undertook the Unit Leadership Development Program in March 2005. This Program was designed to facilitate leadership development in the workplace and develop those men and women who work everyday to accomplish the mission of Organization X. This field project completed over a year of research, data collection through workplace assessments and analysis. Through the use of surveys, this study gathered data from Division P personnel, identified leadership competencies that required attention, and created action plans to achieve improved results. The results of each assessment, action plan, and the results of this effort are suggestions intended to improve Leadership competencies within Division P.

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## **INTRODUCTION**

The Unit Leadership Development Plan (ULDP) is a comprehensive leadership development system intended for commands, workgroups, and staff elements of all sizes. This comprehensive leadership development program was established by Organization X and was intended to:

- Reinforce Organization X 28 leadership competencies (Appendix A)
- Promote a culture that is receptive and supportive of proven leadership principles
- Improve leadership and followership skills at the command, unit, staff element and individual levels, and
- Provide a focal point for unit-based leadership development and repository for leadership resources.

The system, which is computer based, contains many tools designed to improve workgroup leadership and followership, collaboration, and ultimately unit readiness and effectiveness. The ULDP is not a one time training tool, instead it is designed as a continual command initiative that involves a myriad of efforts.

During the past year and a half, Division P implemented the Unit Leadership Development Program. Division P first implemented the program in March 2005. Since inception, the leadership survey or command assessment was conducted three times within Division P. After each assessment, an action plan (Appendix C) was drafted and implemented. Each action plan focused on the leadership competencies requiring the most improvement. This project evaluated the ULDP, analyzed the results of Division

P's assessment and provided recommendations and action plans to improve leadership and followership within Division P.

## **HISTORICAL PERSPECTIVE ON LEADERSHIP IN ORGANIZATION X**

Organization X's Leadership competencies were first established in 1993 when Leadership Work Group (LWG) I was chartered. This Leadership Work Group was tasked with, "...developing a fully-integrated Leadership Program, a program that encompassed all four Organization X work forces including (Commissioned Officers, Warrant Officers, Enlisted, and Civilian)..." LWG I was directed to focus on leadership skills that were expected of both military and civilian employees from accession to senior management level. LWG I developed the framework of the leadership competencies and established the core values.

Leadership Work Group II was formed in 1995. LWGII validated LWG I's results, recommendations, and expectations. It also created the framework for today's Leadership Development Program. LWG II team established work levels, leadership categories, and 21 leadership competencies. These 21 leadership competencies remained unchanged until 2004 when the competencies were reviewed and changes and additions were made to the original 21 competencies.

The Unit Leadership Development Program was announced and implemented in February 2005. The ULDP is a comprehensive Leadership Development System intended for commands, workgroups, and staff elements. The leadership development program was designed as a continual command initiative that involved a multitude of

efforts including surveys, action plans, use of Individual Development Plans (IDP) and leadership training.

## **LITERATURE REVIEW**

A literature review was conducted on three different workforce assessments that were completed within Organization X and three leadership books that are suggested leadership tools in the ULDP.

The three assessments were intended “to identify barriers” to achieving career success in Organization X. The data identified 4 broad barriers, one of which was Leadership. In 1996, Organization X published a service-wide Leadership Development Program which focused on a continuum of leadership development throughout an individual’s career and directed a thorough and systematic study of all segments of the workforce in order to address specific leadership performance gaps identified at the organization, unit, and individual level. Three assessments that were conducted to address these leadership and professional development gaps included: Civilian Workforce Needs Assessment (CIVNA); Junior Officer Needs Assessment (JONA); Senior Enlisted Needs Assessment (SENA). Each assessment used the Human Performance Technology (HPT) approach to conduct the individual assessments. “The HPT methodology is a set of methods and procedures, as well as a strategy for solving problems and for realizing opportunities related to the performance of people” (SENA 1999).

### Civilian Workforce Needs Assessment (CIVNA)

The Civilian Workforce Needs Assessment is a very comprehensive and thorough document. The assessment identified optimal competencies, measured these competencies through the use of a survey, identified “gaps” in competencies, and created focus groups to find the root cause of these “gaps”. The CIVNA identified areas of improvement in 12 key issues and provided useful improvement suggestions. One suggestion that came from the study, the use of the Individual Development Plan, is currently implemented throughout Organization X. Overall, the CIVNA was the most thorough assessment of the three and was extremely informative.

### Junior Officer Needs Assessment (JONA)

The Junior Officer Needs Assessment is a complete assessment that recommended many good quality and feasible solutions. The study focused on a continuum of leadership development throughout a member’s career. The target audience of the JONA was first tour junior officers from various accession points including Academy, Direct Commission, and Officer Candidate School (OCS). The study also examined the leadership performance and skills needed at every billet filled by Junior Officers (JO) or first tour officers and focused on leadership traits required by JOs. Many of the recommended solutions, which were developed from the JONA have been implemented within the organization.



## Senior Enlisted Needs Assessment (SENA)

The SENA defined what Organization X needed from its Senior and Master Chief Petty Officers in order to accomplish the Service's missions and become the future enlisted leaders of Organization X. The study reviewed Senior Chief and Master Chief Petty Officer performance requirements and expectations. The assessment also completed an exhaustive study of data collection and analysis which included skills, leadership, job performance qualifications, assignment policy etc. The Senior Enlisted Needs Analysis provided many solid recommendations in the areas of roles and responsibilities, being a member of Organization X, career development, human resource systems and implementation.

The three leadership books are 3 of many books from the ULDP's suggested leadership reading list. The ULDP provides reading and discussion guidance for each book on the reading list.

## *Character in Action*

This Leadership book explains how the Coast Guard creates, instills, and maintains leadership throughout a 40,000 member force. The author ties in many of the 28 leadership competencies throughout his book and gives examples and guidelines on how to instill leadership throughout an entire organization. This book is a good for the ULDP program, but many of the leadership examples are embellished.

### *Shackleton's Way*

This leadership book uses the story of Ernest Shackleton's life and the Endurance expedition as the setting for exploring Shackleton's leadership philosophy. Each chapter gives a portion of his story, followed by a page of practical ideas for the reader to implement the philosophy. This book is an excellent leadership book for the ULDP and any leadership program because it truly shows how Shackleton's leadership style was crucial to overcoming immense obstacles and challenges. This book is good for managers at all levels.

### *Leading at the Edge*

Leading at the Edge focuses on Ernest Shackleton's expeditions to the Antarctic and the organizational and personal leadership strategies that made him successful. The book is tailored for mid-level and senior managers. The book provided many leadership examples from Shackleton's expedition and correlated these 90 year old stories with leadership examples from 21<sup>st</sup> century businesses. Overall, this book would be a good book to use during a ULDP training session; however, lower level managers or non-managers may not gain as much, from this text, as higher level managers.

## **IMPLEMENTATION**

Leadership, leadership schools, and leadership programs have always been an integral part of Organization X. The ULDP was one of the Commandant's priorities and became mandatory within Organization X in the summer of 2005. The program was announced to all units by way of the message system. The message for the ULDP announced the launch of the program, stated the purpose and elements of the program, provided information on where to access additional information, provided the POC, and required all units to implement the program by July 2005. Division P implemented the first survey and all hands in March 2005 and follow-on assessments were conducted in December 2005 and July 2006. The overall implementation of the program was simple. The steps to implementation included:

- Identify unit Point of Contact (POC)
- Visit Organization X Leadership website
- Conduct Assessment
- Review assessment results
- Develop Action Plan (Appendix C)
- Implement proven practices/ provide training
- Conduct follow-on assessment(s).

Once the Unit POC was designated an assessment was conducted every 6-9 months within the Division. The assessment measured the perception of Division P's strengths and weaknesses in terms of Organizations X's Leadership Competencies (Appendix A). The assessment provided a starting point from which Division P could develop an action plan for leadership development. The questions used in the assessment were developed

by HQ ULDP program managers and tailored to specifically assess 19 of Organization X's 28 Leadership Competencies.

Leadership competencies are the knowledge, skills and expertise Organization X expects of its leaders. While there is some overlap in these competencies, they generally fall within four broad categories: LEADING SELF, LEADING OTHERS, LEADING PERFORMANCE and CHANGE, and LEADING ORGANIZATION X. Together, these four leadership categories and their elements are keys to career success. Developing them in all Organization X people will result in the continuous improvement necessary for us to remain always ready. (Organization X Leadership Competencies)

The 19 Leadership Competencies, which the assessment was based upon, were from three of the four broad leadership categories. The three categories were: Leading Self, Leading Others, Leading Performance and Change.

**Leading Self.** Fundamental to successful development as a leader is an understanding of self and one's own abilities. This includes understanding one's personality, values, and preferences, while simultaneously recognizing one's potential as an Organization X member. Personal conduct, health and well-being, character, technical proficiency, lifelong learning, followership, and organizational commitment are elements to consider when focusing on the leadership development of 'self.'

**Leading Others.** Leadership involves working with and influencing others to achieve common goals. Organization X members interact with others in many ways, whether as supervisor, mentor, manager, team member, team leader, peer or worker. Positive professional relationships provide a foundation for the success of our Service. Showing respect for others, effective communications, influencing others, working in teams, and taking care of one's people are elements to consider when evaluating one's capacity for working with others. Developing these qualities will increase capacity to serve.

**Leading Performance and Change.** Organization X and its members constantly face challenges in mission operations. To meet these challenges, leaders must apply performance competencies to their daily duties. Performance competencies include developing a vision, managing conflict, quality and daily management of projects, appraising performance, problem solving and decision making. Having these competencies enables each leader—and the Service—to perform to the utmost in any situation. (Organization X Leadership Competencies)

After at least 50% of Division P personnel completed the survey, results were posted and reviewed by the unit POC. The results provided information on competencies that were in the green, yellow, or red. These colors were chosen because they illustrate a traffic light with Green meaning “proceed,” Yellow meaning “proceed with caution” and Red meaning “stop.” For the ULDP, red means “stop, something needs to be changed.” The areas in the yellow and red were competencies that needed improvement and each action plan focused to improve these competencies. After the action plan was developed and implemented a follow-on assessment was conducted.

While creating the action plan, four basic elements of the ULDP were used. The four basic elements were:

- A digital library of training techniques, leadership tools, training and non-training proven practices gathered from Organization X, Department of Defense DOD, Business, and Industry.
- A short, user-friendly, internet-based command assessment, linked directly to Organization X leadership competencies, and designated to identify command, workgroup, and staff element strengths and areas of needed improvement.
- A command report summarizing the commands strengths and gaps, as they related to Organization X Leadership competencies, and a list of suggested developmental activities.
- The Action Plan which is the foundation of the ULDP. The Action Plan was designed to persuade commands to follow up on assessment results and work towards improvement.

## **PROCESS DESCRIPTION**

### **DATA COLLECTION**

Data was collected using an internet based survey. A link to the assessment was sent to each person in Division P by e-mail. Prior to sending the first assessment everyone was briefed about the ULDP. Personnel from Division P took the survey in March 2005, December 2005 and July 2006. The survey questions, for each assessment, were identical and consisted of 36 questions (Appendix B) based on 19 of the 28 leadership competencies. The 36 questions were developed by Headquarter's ULDP Program managers.

The internet based assessment was designed to identify command, workgroup and staff element strengths and areas that needed improvement. The information received from the assessment was completely confidential. After at least 50% of the group members completed the assessment, the ULDP POC generated a report and viewed the results.

### **DETERMINING GAPS**

The report listed 19 competencies and provided a numerical value for each competency along with coordinating color. The results of the Assessment are based upon Organization X's Leadership Competencies and are provided in an easy to understand stop light from (Red, Yellow, Green), which were established by the ULDP. The results are automatically tabulated, and viewed through a unit-customized web page.

The score breakdown is as follows:

- Green color (3.67 to 5) were well developed competencies

- Yellow color (2.55 to 3.66) were competencies that may need improvement
- Red color (1 to 2.54) were competencies that required attention

## **DEVELOPING SOLUTION / ACTION PLAN**

The action plan is intended to bridge the gap between intent and leadership development success. The action plan should be a one to two page document that lays out steps for the unit's leadership development plan. When developing the action plan, each competency that scored low was reviewed and addressed.

In Division P the Division Chief and Executive Officer reviewed the assessment results following each assessment. After the review, an Action Plan was drafted which focused on improving competencies that were in the yellow. The action plan was linked with the unit's training plan and identified specific actions that were undertaken to improve the identified deficiencies. When developing the action plan, each competency that scored low or had the greatest percentage deviation from the prior survey, was addressed and the reasons why the particular competency was problematic was discussed. Each action plan involved implementing one or more application that addressed the group's specific deficiency. Possible applications included various types of training and non-training techniques. Training techniques include items such as reading from one of the suggested books, videos, and bringing in a guest speaker. Non-training solutions typically involve proven practices developed and implemented by units throughout the Organization. Examples include: Incentives in the workplace; providing the right tools for the job; ensuring proper guidance is provided to execute the job.

## **FOLLOW-ON ASSESSMENT**

Follow on assessments were conducted every 6-9 months. The Unit Leadership Development Program was designed as an ongoing leadership program and not a one stop training session. The follow-on assessments were used to reassess the unit and determine whether the training techniques used in the action plan were working or whether there were other leadership areas needing attention.



## RESULTS

From March 2005 to December 2005 the assessment results, for the most part, stayed the same or increased over the 9 month period. From December 2005 to July 2006, assessment results decreased in all 19 categories.

The overall results and their corresponding category can be viewed in the table below.

	Mar-05	Dec-05	Jul-06
<b>Leading Self</b>			
Accountability & Responsibility	4	4.1	3.7
Align Values	4	4	3.5
Followership	4.1	4.2	4
Self Awareness and Learning	3.7	3.9	3.8
Personal Conduct	4	4	3.5
Health and Well Being	4.2	4.2	4
Technical Proficiency	3.9	4	3.9
<b>Leading Others</b>			
Effective Communications	3.8	3.8	3.5
Team Building	3.8	3.9	3.5
Taking Care of People	3.7	3.8	3.5
Mentoring	3.5	3.4	2.9
Respect for Others	3.9	4	3.8
Influencing Others	3.6	3.6	3.5
<b>Leading Performance and Change</b>			
Vision, Development, and Implementation	3.6	3.4	2.8
Customer Focus	4	4.2	4
Decision Making	3.9	4	3.2
Conflict Management	3.9	3.9	3.4
Management and Process Improvement	3.6	3.7	3.2
Creativity and Innovation	3.7	3.7	3.2

## AREAS IN THE GREEN

Competencies that are in the green scored between a 3.67 and 5.0 in a 1.0 to 5.0 scale. There were 7 out of 19 competencies that were in the green for all three assessments. These competencies and their corresponding category were:

Competency	Category
Accountability and Responsibility	Leading Self
Followership	Leading Self
Self Awareness and Learning	Leading Self
Health and Well Being	Leading Self
Technical Proficiency	Leading Self
Respect for Others	Leading Others
Customer Focus	Performance and Change

8 out 19 of the competencies were in the green 2 out of 3 assessments. These competencies and corresponding category were:

Competency	Category
Align Values	Leading Self
Personal Conduct	Leading Self
Effective Communications	Leading Others
Team Building	Leading Others
Taking Care of People	Leading Others
Decision Making	Leading Performance and Change
Conflict Management	Leading Performance and Change
Creativity and Innovation	Leading Performance and Change

### **AREAS IN THE YELLOW**

Competencies in the yellow scored between a 2.55 to 3.66. There were 3 competencies that were in the yellow for all three assessments. These competencies and their corresponding categories were:

Competency	Category
Mentoring	Leading Others
Influencing Others	Leading Others
Vision, Development, and Implementation	Leading Performance and Change

One competency scored in the yellow 2 out of 3 assessments. This competency and its corresponding category were:

Competency	Category
Management and Process Improvement	Leading Performance and Change

### **AREAS IN THE RED**

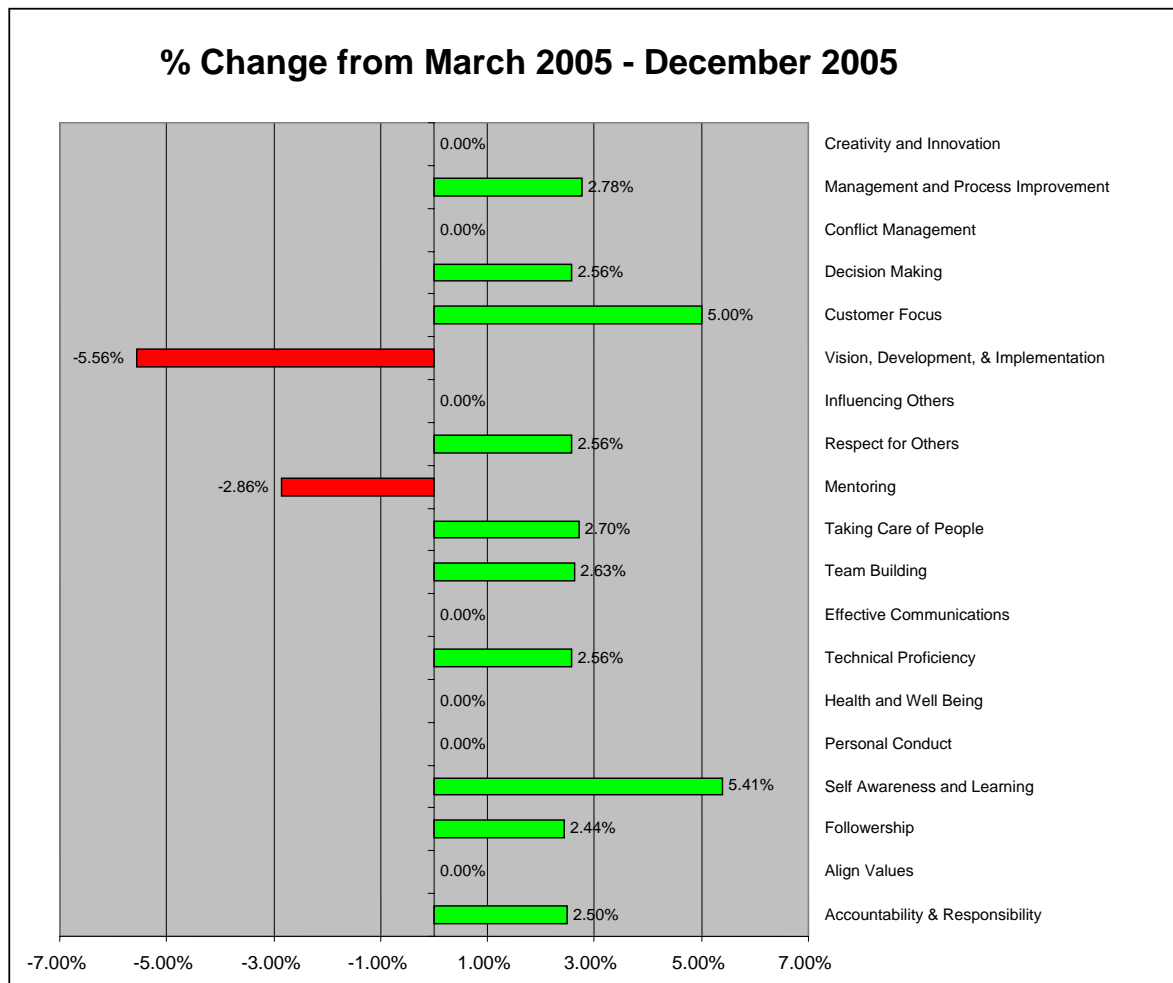
Competencies in the red scored between a 1 to 2.54. There were zero competencies that scored in the red.

## DATA COMPARISON

Since inception, the results of the ULDP Assessments within P Division have been very insightful. Each assessment presented varying results and forced Division P to take a deeper look at particular areas that needed improvement or attention.

### March 2005 – December 2005

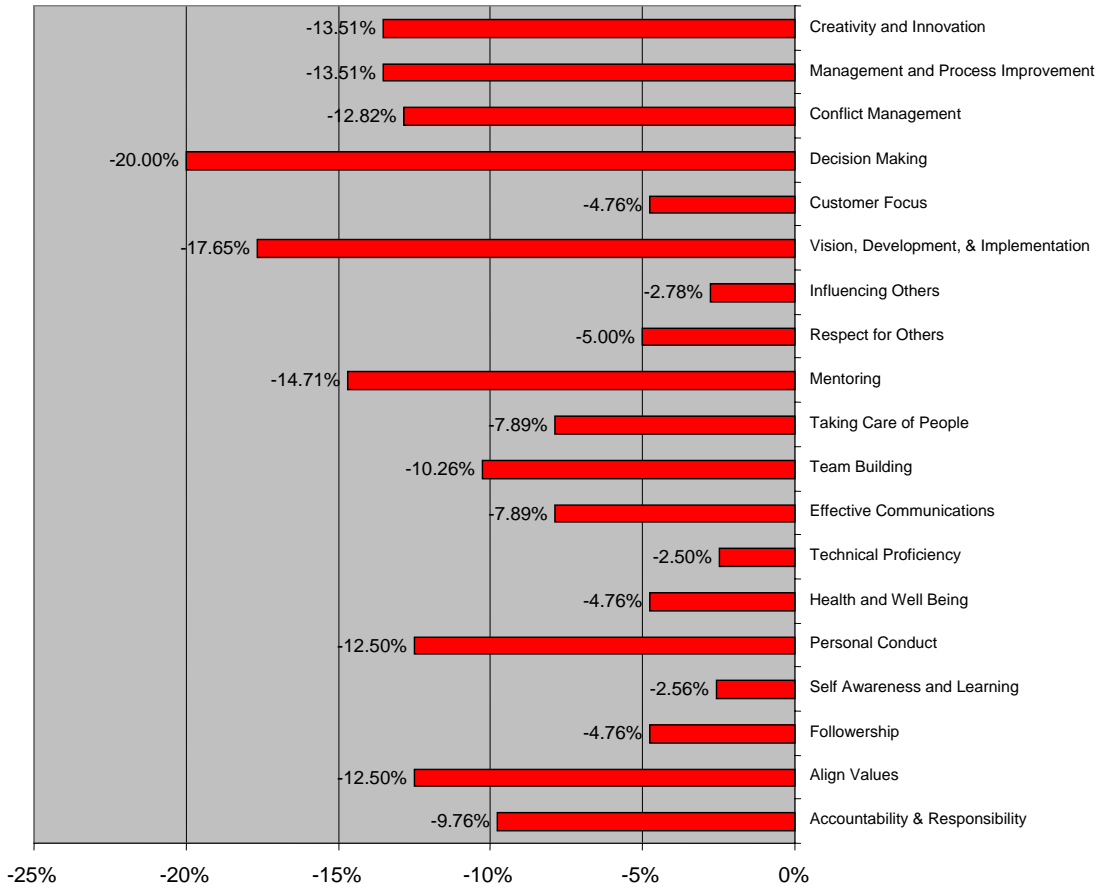
The percent change from March 2005 to December 2005 was positive overall. There were only two competencies with slightly reduced numbers. Those two competencies were “Vision, Development and Implementation” (-5.56%) and “Mentoring” (-2.86%).



## **December 2005 – July 2006**

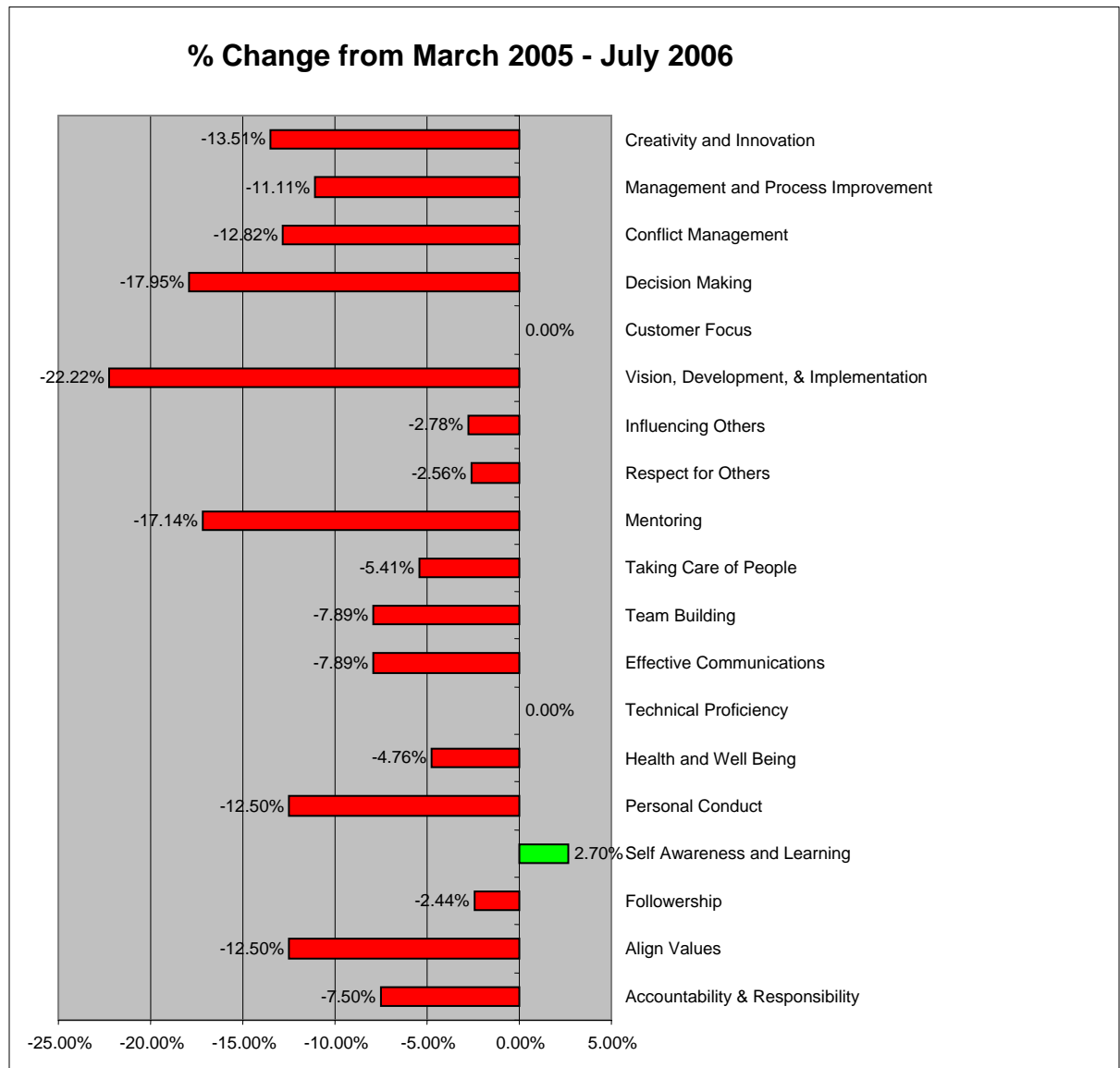
The percent change from December 2005 to July 2006 was negative. All competency results decreased. The three greatest percentage decreases were “Decision Making,” (-20%) “Vision, Development, and Implementation,” (-17.65%) and “Mentoring” (-14.71%). Both “Decision Making” and “Vision, Development, and Implementation” are from the Leading Performance and Change category which focuses on “Performance competencies include developing a vision, managing conflict, quality and daily management of projects, appraising performance, problem solving and decision making.” “Mentoring” is from the Developing Others category which focuses on “Showing respect for others, effective communications, influencing others, working in teams, and taking care of one’s people are elements to consider when evaluating one’s capacity for working with others.”

## % Change from December 2005 - July 2006



## March 2005 – July 2006

The overall percent change from March 2005 to July 2006 was negative in all but three categories. The three greatest percentage decrease was “Decision Making,” (-20%) “Vision, Development, and Implementation,” (-17.65%) and “Mentoring” (-14.71%). Both “Decision Making” and “Vision, Development, and Implementation” are from the Leading Performance and Change category.



## **CAUSE FOR DISCREPANCIES**

### **Personnel Changeover**

There are different reasons as to the negative results from March 2005 to July 2006. The most probable reason for the declining results is the large number of personnel leaving the unit. From the 1<sup>st</sup> assessment in March 2005 to the 2<sup>nd</sup> assessment in December 2005, 11 out of 25 people or 44% of the workforce either transferred or changed jobs. Included in those 11 employees were the top two leaders from Division P. The Division Chief and the Executive Officer both transferred out and new personnel transferred into Division P during the Summer of 2005.

From the 2<sup>nd</sup> assessment in December 2005 to the 3<sup>rd</sup> assessment in July 2006, eight out of 20 employees or 40% of the workforce transferred, retired, or quit their job. With so many personnel changing between assessments it is difficult to determine whether the results were due to actual leadership problems or differences in opinion from new personnel.

Personnel changeover will occur every year, but over the last year and a half the percentage of personnel leaving, transferring or quitting the Division was greater than usual. On average, Division P will experience a 30% changeover of personnel yearly as opposed to the 40% & 44% changeover.

### **Realignment**

Another reason for the decreasing results is because Organization X underwent a complete realignment. The realignment combined certain programs and separated others. This change led to confusion and required the Organization and the many Divisions to operate differently. Organization X has not experienced such a huge realignment in a



very long time. There have been smaller organizational modifications in the past, but those were not nearly as large and complicated as the realignment that occurred in 2005. From the realignment, Division P lost 20% of its workforce, along with some of the core missions that were familiar to Division P. Division P gained a new branch, but personnel within the existing Division lacked understanding as to why this part of Organization X was placed in P Division.

After the realignment, Division P changed its name, shape, and many of its core missions; however, the Division Chief never held an “All hands” to explain this change. The realignment brought about confusion and uncertainty within the Division and the confusion was exasperated by the fact that the new Chief of Division P did not keep the Division informed. Not only was there a communication gap, but new mission and vision statements were never created for the new program and individual job titles and job descriptions were also never drafted. The lack of communication combined with the absence of job descriptions and vision and mission statements probably contributed to the declining assessment results.

The 36 question survey is based on 19 of the 28 Leadership competencies. The survey does not take into account personnel changeover or large organizational realignments but there are ways to overcome this. One way to take personnel changeover into account is to have all personnel take the assessment at least 5 or 6 months after a large changeover of personnel. This gives new personnel time to adjust so they are better able to make informed decision. Another solution may be to only require those personnel who have been with a unit, division, or command a minimum of 5 months to take the

assessment. Personnel who have been there less than 5 months can choose to take or not to take the assessment.

## **RECOMMENDATIONS and CONCLUSION**

### **Organization X**

The intentions and goals of the Unit Leadership Development Program are achievable if Commanding Officers or Chief Officers within the commands, workgroups, and staff elements embrace and use the program and the 28 leadership principles. The intentions of the program were well thought out, the assessments and reports provided a good starting point for all units, and the program website provided many excellent tools for training; however, there is no oversight or accountability from top leaders within Organization X. Without high level oversight, many commands are not implementing the program and those units that have implemented the program are not fully integrating the program within their individual commands. The ULDP became mandatory in Summer 2005 and a quick survey, in January 2006, of all Divisions within Area staff indicated only 2 out of 7 divisions actually implemented the program. The small number of participants, within the organization, is an indication of Organization X's implementation shortfalls. If Organization X wants to fully integrate the ULDP throughout the organization, top leaders of all Commands, Units and Divisions can not push this program aside; they must make it a priority.

One way to ensure top leaders integrate the ULDP and make it a priority within each command, workgroup, or staff element is to ensure the ULDP program managers keep track of unit participation. Top leaders and program managers at Headquarters can achieve better participation results if they place this program into Organization X's computerized tracking system. This system keeps track of all mandatory training and when items are not completed, within the required timeframe, the name or names of those

personnel who are deficient are notified. The ULDP program managers should use this existing system and track individual units. When units do not complete the computerized survey within the suggested time period, then the unit ULDP POC or the Commanding Officer should be sent a reminder.

The ULDP is a good program and can be successful but modifications including implementing a better tracking system, need to be created before the program becomes successful.

### **Division P**

The ULDP is fully implemented within Division P; however, it has not become an integral part of the Division. The assessments are taken every 6 to 9 months, the results are reviewed and action plans have been written, but not all the items on the action plan are being completed. Since some very crucial items have not been satisfied, the results of the next survey will probably be similar to the July 2006 survey results. The 3 assessments throughout the 16 month period, displayed a continual downward trend in certain areas of leadership. It is difficult to determine if the downward trend was due to personnel transfer, change in leadership, or organizational realignment, but it was reasonable to presume that all 3 factors contributed to the downward trend.

The re-alignment was a significant change for Division P. Key programs were taken from the Division and the Division was left in a state of flux. New mission and vision statements were never created for the new programs. Individual job titles and job descriptions were also never drafted. Without a true picture of the goals and the future of P Division it was difficult for many employees to see where they fit in and where

Division P fits into the entire Organization. This was clearly displayed in the assessment results from July 2006 where the two categories with the greatest percentage decrease were “Decision Making” and “Vision, Development, and Implementation.”

Division P undertook the ULDP 18 months ago, in March 2005. During this time many major adjustments occurred within the division and the assessment results are a reflection of these changes. The ULDP should and will continue in Division P for at least another 12 months and should continue beyond this time period. The Action Plan should continue to focus on assessment categories that received a 10% or greater drop from the previous assessment.

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## **GLOSSARY**

**All Hands** – All personnel on the ship, in the office, and/or Command

**Billet** - A personnel position, assignment, or duty station which is filled by one person

**Command** - A unit or units, an organization, or an area under the command of one individual

**Commanding Officer** - an officer in command; especially: an officer in the armed forces in command of an organization or installation

**Commandant** - The commanding officer of a military organization.

**Commissioned officers** - An officer who holds a commission and ranks as a second lieutenant or above in the U.S. Army, Air Force, or Marine Corps, or as an ensign or above in the U.S. Navy or Coast Guard.

**Chief Petty Officer** - The second highest noncommissioned officer or equivalent in the military. Master Chief Petty Officer is the highest noncommissioned officer or equivalent in the military.

**Direct Commission** – An officer accession program in the military. The Direct Commission program educates newly commissioned officers on the military branch, its missions, leadership, promotion system etc.

**Enlisted** - Of, relating to, or being a member of a military rank below a commissioned officer or warrant officer.

**Headquarter** - A center of operations or administration. The offices of a commander, as of a military unit, from which orders are issued.

**Junior Officer** – A commissioned officer holding rank equivalent to a naval lieutenant, army captain or below. An officer of lower rank.

**Message Board** – The most common means of transmitting important information to one or all commands or units within Organization X. Messages can include promotion board results, casualties onboard vessels, intelligence reports, pollution reports, program updates, school openings, etc.

**Noncommissioned Officer** - An enlisted member of the armed forces, such as a corporal, sergeant, or petty officer, appointed to a rank conferring leadership over other enlisted personnel.

**Officer Candidate School** - is a rigorous course for new non-commissioned, officer candidates. Over the course of 13 weeks, enlisted sailors and civilians are transformed into Military officers.

**Point of Contact** - Person serving as coordinator, action officer, or focal point for an activity

**Warrant Officers** - A military officer, usually a skilled technician, intermediate in rank between a noncommissioned officer and a commissioned officer, having authority by virtue of a warrant.



## APPENDIX A: 28 LEADERSHIP COMPETENCIES

### LEADERSHIP COMPETENCIES

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Leadership competencies are the knowledge, skills and expertise Organization X expects of its leaders. While there is some overlap in these competencies, they generally fall within four broad categories: SELF, OTHERS, PERFORMANCE and CHANGE, and Organization X. Together, these four leadership competencies and their elements are keys to career success. Developing them in all Organization X people will result in the continuous improvement necessary for us to remain always ready—SEMPER PARATUS.

LEADING SELF. Fundamental to successful development as a leader is an understanding of self and one's own abilities. This includes understanding one's personality, values, and preferences, while simultaneously recognizing one's potential as an Organization X member. Personal conduct, health and well-being, character, technical proficiency, lifelong learning, followership, and organizational commitment are elements to consider when focusing on the leadership development of "self."

LEADING OTHERS. Leadership involves working with and influencing others to achieve common goals. Organization X members interact with others in many ways, whether as supervisor, mentor, manager, team member, team leader, peer or worker. Positive professional relationships provide a foundation for the success of our Service. Showing respect for others, effective communications, influencing others, working in teams, and taking care of one's people are elements to consider when evaluating one's capacity for working with others. Developing these qualities will increase capacity to serve.

LEADING PERFORMANCE AND CHANGE. Organization X and its members constantly face challenges in mission operations. To meet these challenges, leaders must apply performance competencies to their daily duties. Performance competencies include developing a vision, managing conflict, quality and daily management of projects, appraising performance, problem solving and decision making. Having these competencies enables each leader—and the Service—to perform to the utmost in any situation.

LEADING ORGANIZATION. Organization X does not exist in a vacuum. As leaders gain experience in Organization X they must understand how it fits into a broader structure of department, branch, government, and the nation as a whole. At a local level, leaders often develop partnerships with public and private sector organizations in order to accomplish the mission. Organization X "plugs in" via its key systems: money, people, and technology. A leader must thoroughly understand these systems and how they interact with similar systems outside Organization X. An awareness of Organization X's value to the nation, and promoting that using a

deep understanding of the political system in which we operate becomes more important as one gets more senior. Leaders must develop coalitions and partnerships with allies inside and outside Organization X.

## LEADING SELF

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- **ACCOUNTABILITY AND RESPONSIBILITY**

Organization X leaders know ours is a military service and recognize the organizational structure and the chain of command. Each individual is sensitive to the impact of his or her behavior on others and the organization. Leaders take ownership for their areas of responsibility, are accountable to effectively organize and prioritize tasks, and efficiently use resources. Regulations and guidelines that govern accountability and responsibility allow leaders to use appropriate formal tools to hold others accountable when situations warrant.

- **FOLLOWERSHIP**

All Organization X members are followers. The followership role encompasses initiative, commitment, responsibility, accountability, critical thinking, and effective communications. Followers look to leaders for guidance and feedback; they expect challenging tasks to both learn and develop competence. Actively involved, they seek to understand through listening, responsible questioning and feedback. Followers have the responsibility to work with leaders to ensure successful mission accomplishment.

- **SELF AWARENESS AND LEARNING**

Organization X leaders are self-objective. They continually work to assess self and personal behavior, seek and are open to feedback to confirm strengths and identify areas for improvement, and are sensitive to the impact of their behavior on others. Successful leaders use various evaluation tools and indicators to assist in this process of understanding themselves. Organization X leaders understand that leadership and professional development is a life-long journey and always work to improve knowledge, skills and expertise. To that end, they seek feedback from others and opportunities for self-learning and development, always learning from their experiences. Leaders guide and challenge subordinates and peers, encouraging individuals to ask questions and be involved. Leaders are open to and seek new information, and adapt their behavior and work methods in response to changing conditions.

## LEADING SELF

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- **ALIGNING VALUES**

Organization X leaders develop and maintain an understanding of the Organization X Core Values of Honor, Respect and Devotion to Duty. Leaders align personal values with organizational values, reconciling any differences that exist. Leaders embody the highest standards of Organization X Core Values; can communicate their meaning; hold peers and subordinates accountable to these organizational merits; and use them to guide performance, conduct and decisions—every day.

- **HEALTH AND WELL-BEING**

Leaders consider the environment in which they and their people work, attending to safety and well-being. They effectively identify and manage stress. They set a personal health example with emphasis on a program of physical fitness and emotional strength. Leaders encourage others to develop personal programs including physical, mental and spiritual well-being.

- **PERSONAL CONDUCT**

Leaders demonstrate belief in their own abilities and ideas; are self-motivated, results-oriented and accountable for their performance; recognize personal strengths and weaknesses; emphasize personal character development; and use position and personal power appropriately. They understand the relevance and importance of Organization X Core Values and strive for personal conduct that exemplifies these values.

- **TECHNICAL PROFICIENCY**

Organization X leaders' technical knowledge, skills and expertise allow them to effectively organize and prioritize tasks and use resources efficiently. Always aware of how their actions contribute to overall organizational success, leaders demonstrate technical and functional proficiency. They maintain credibility with others on technical matters and keep current on technological advances in professional areas. Successful leaders work to initiate actions and competently maintain systems in their area of responsibility.

## **LEADING OTHERS**

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- **EFFECTIVE COMMUNICATIONS**

Organization X leaders communicate effectively in both formal and informal settings. Good listeners, they reinforce the message they convey with supportive mannerisms. Leaders express facts and ideas succinctly and logically, facilitate an open exchange of ideas, ask for feedback routinely, and communicate face-to-face whenever possible. They write clear, concise, and organized correspondence and reports. Successful leaders prepare and deliver effective presentations. In situations requiring public speaking they deliver organized statements, field audience questions, confidently communicate with the media and other external entities, and distinguish between personal communication situations and those as a Organization X representative. Competent coaches, supervisors, followers, performance counselors, interviewers, and negotiators, leaders know how to approach many situations to achieve organizational goals.

- **INFLUENCING OTHERS**

Organization X leaders possess the ability to persuade and motivate others to achieve the desired outcome: to create change. They influence and persuade by communicating, directing, coaching, and delegating, as the situation requires. Successful leaders understand the importance and relevance of professional relationships; develop networks; gain cooperation and commitment from others; build consensus; empower others by sharing power and responsibility; and establish and maintain rapport with key players.

- **RESPECT FOR OTHERS AND DIVERSITY MANAGEMENT**

Through trust, empowerment and teamwork, Organization X leaders create an environment that supports diverse perspectives, approaches and thinking, fairness, dignity, compassion and creativity. They demonstrate sensitivity to cultural diversity, race, gender, background, experience, and other individual differences in the workplace. Leaders guide and persuade others to see the value of diversity, building and maintaining a healthy working environment.

## LEADING OTHERS

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- **TEAM BUILDING**

Leaders recognize and contribute to group processes; encourage and facilitate cooperation, pride, trust and group identity; and build commitment, team spirit, and strong relationships. Organization X leaders inspire, guide and create an environment that motivates others toward goal accomplishment; consider and respond to others' needs, feelings, and capabilities; and adjust their approach to suit various individuals and situations. Organization X leaders have a historical perspective of leadership theory that they continually develop through personal experience and study of contemporary leadership issues. They work with subordinates to develop their leadership knowledge and skills. Organization X leaders adapt leadership styles to a variety of situations; and personify high standards of honesty, integrity, trust, openness, and respect for others by applying these values and styles to daily behavior.

- **TAKING CARE OF PEOPLE**

Successful leaders identify others' needs and abilities in Organization X, particularly subordinates'. They ensure fair, equitable treatment; project high expectations for subordinates and/or their teams; express confidence in abilities; recognize efforts and use reward systems effectively and fairly. Leaders appropriately support and assist in professional and personal situations and use formal programs to resolve situations positively.

- **MENTORING**

Drawing on their experience and knowledge, leaders deliberately assist others in developing themselves; provide objective feedback about leadership and career development; and help identify professional potential, strengths and areas for improvement. Successful leaders identify with the role of mentor to their staff. They have the skill to advise and develop others in the competencies needed to accomplish current and future goals. Leaders seek out mentors for themselves and may be engaged in the formal Organization X mentoring program both as mentors and mentees.

## LEADING PERFORMANCE AND CHANGE

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- **CUSTOMER FOCUS**

Organization X leaders know who their customers are, and make every possible effort to find out their customers' needs and to hear their customers' voices. Leaders understand the importance of measuring and monitoring the degree to which their customers' needs are met or exceeded, and continually strive to improve that. Organization X leaders understand the distinction between "customer" and "boss" and act accordingly to balance competing demands.

- **MANAGEMENT AND PROCESS IMPROVEMENT**

Successful leaders demonstrate the ability to plan, organize, and prioritize realistic tasks and responsibilities for themselves and their people. They use goals, milestones, and control mechanisms for projects. Leaders seek, anticipate and meet customers' needs—internal and external. To achieve quality results, Organization X leaders monitor and evaluate progress and outcomes produced by current processes; ensure continuous improvement through periodic assessment; and are committed to improving products, services, and overall customer satisfaction. They effectively manage time and resources to successfully accomplish goals.

- **DECISION MAKING AND PROBLEM SOLVING**

Leaders identify and analyze problems; use facts, input from others, and sound reasoning to reach conclusions; explore various alternative solutions; distinguish between relevant and irrelevant information; perceive the impact and implications of decisions; and commit to action, even in uncertain situations, to accomplish organizational goals. They evaluate risk levels, create risk control alternatives, and implement risk controls. Successful leaders are able to isolate high-importance issues, analyze pertinent information, involve others in decisions that affect them, generate promising solutions, and consistently render judgments with lasting, positive impact.

- **CONFLICT MANAGEMENT**

Organization X leaders facilitate open communication of controversial issues while maintaining relationships and teamwork. They effectively use collaboration as a style of managing contention; confront conflict positively and constructively to minimize impact to self, others and the organization; and reduce conflict and build relationships and teams by specifying clear goals, roles and processes.

## LEADING PERFORMANCE AND CHANGE

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- **CREATIVITY AND INNOVATION**

Leaders develop new insights into situations and apply innovative solutions to make unit and functional improvements. Leaders create a work environment that encourages creative thinking and innovation. They take reasonable risks, and learn from the inevitable mistakes that accompany prudent risk-taking—and they apply this same thinking to those who work for them, encouraging innovation and helping their people apply the lessons learned. Leaders design and implement new or cutting-edge programs and processes.

- **VISION DEVELOPMENT AND IMPLEMENTATION**

Leaders are able to envision a preferred future for their units and functions, setting this picture in the context of Organization X's overall vision, missions, strategy and driving forces. Concerned with long-term success, leaders establish and communicate organizational objectives and monitor progress toward objectives; initiate action; and provide structure and systems to achieve goals. Leaders create a shared vision of the organization; promote wide ownership; manage and champion organizational change; and engineer changes in processes and structure to improve organizational goal accomplishment.



## LEADING ORGANIZATION X

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- **STEWARDSHIP**

Organization X's unofficial motto was once "You have to go out – but you don't have to come back!" This bravado was a testament to the bravery and commitment to service of Organization X men and women. But a more appropriate motto might be "You have to go out, and you have to come back, and you have to bring our resources back because we'll need them again tomorrow!" Performing the mission at ANY cost is an unacceptable risk, not only those immediately involved, but all those who would have benefited from the efforts of those people and their resources tomorrow, and next week, and next year. Protecting the nation's investment is important, and presents a difficult decision when it means failing now in order to succeed tomorrow. Achieving the proper balance is a crucial element of leading.

- **TECHNOLOGY MANAGEMENT**

Technological advances make it possible to improve mission performance provided prudent investments are made up front. Organization X leaders use efficient and cost-effective approaches to integrate technology into the workplace and improve program effectiveness. Leaders develop strategies using new technology to enhance decision-making. They fully appreciate the impact of technological changes on the organization.

- **FINANCIAL MANAGEMENT**

Organization X's budget and financial management systems are analogous to a nervous system. Leaders must demonstrate broad understanding of the principles of financial management and marketing expertise necessary to ensure appropriate funding levels for their areas of responsibility. They prepare, justify, and/or administer the budget for the unit or program; use cost-benefit thinking to set priorities; and monitor expenditures in support of programs and policies. Leaders seek and identify cost-effective approaches, and manage procurement and contracting appropriately.

## LEADING ORGANIZATION X

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- **HUMAN RESOURCE MANAGEMENT**

Organization X leaders understand and support the civilian and military staffing systems, and assess current and future staffing needs based on organizational goals and budget realities. Making decisions that are merit-based, they ensure their people are appropriately selected, developed, trained assigned, evaluated, and rewarded. Leaders take corrective action when needed. They guide and mentor others in appropriate interaction with these system elements. Leaders support personnel completing requirements for advancement, special programs or future assignment; recognize positive performance and development through the formal reward system; and assist others in requesting formal training or developmental assignments.

- **PARTNERING**

Organization X exists within a broader envelope of partners and stakeholder organizations. Leaders must develop networks and build alliances, engaging in cross-functional activities where it makes sense. Leaders collaborate across boundaries, and find common ground with a widening range of stakeholders at the local and national level, and use their contacts to build and strengthen internal bases of support.

- **EXTERNAL AWARENESS**

Leaders identify and keep up to date on key national and international policies and economic, political, and social trends that affect the organization. Organization X leaders understand near-term and long-range plans and determine how best to be positioned to achieve the advantage in an increasingly competitive national economic climate.

- **ENTREPRENEURSHIP**

Leaders seek and identify opportunities to develop and market new products and services within or outside of Organization X. Leaders are willing to take risks and initiates actions that involve a deliberate risk to achieve a recognized benefit or advantage.

- **POLITICAL SAVVY**

Organization X leaders identify the internal and external politics that impact the work of Organization X and the Department. Leaders approach each problem situation with a clear perception of organizational and political reality, and recognize the impact of alternative courses of action.

- **STRATEGIC THINKING**

Organization X leaders react to crises immediately, and routinely solve urgent problems. In keeping with the concepts described as Stewardship, Organization X leaders must also consider multiple time horizons and very complex interactions. This requires thinking strategically, which consists of adopting a systems view; focusing on intent—what are we really trying to accomplish?; thinking across time horizons; creating and testing hypotheses; and being intelligently opportunistic—taking advantage of current conditions.

## APPENDIX B: ASSESSMENT

The assessment is 36 questions and should take no longer than 10 minutes to complete.

How often does the behavior occur at your unit? Choose 1 – 5.

1 = Never. 5 = Always

1. Leaders at my unit evaluate the impact of their decisions on people and the mission.
2. I am given opportunities to improve my skills in my unit/command.
3. I have a safe workplace.
4. I know who my important customers are. (Depending on your job customers may be the general public, other mariners, other Government Agencies, or other members of Organization X.)
5. I know what my customers need and want.
6. I receive adequate mission-relevant info to do my job.
7. I receive useful professional/career guidance from members of my unit.
8. People at my unit are comfortable bringing up controversial issues.
9. Members at my unit cooperate with supervisors to ensure successful mission accomplishment.
10. Members at my unit identify and analyze problems to make effective decisions.
11. My Command cares about me.
12. My supervisor/team leader creates a work environment that helps me do my job.
13. My supervisor/team leader recognizes and rewards good performance.
14. My unit follows a work schedule/plan to accomplish a task or mission.
15. My supervisor follows up to ensure my work group is meeting its goals.
16. My work environment encourages creative thinking and innovation.
17. New members receive adequate orientation to the unit.
18. My supervisor asks for my opinions and input.
19. Supervisors/team leaders support member efforts to continue education after work.
20. The leadership at my unit manages and supports better ways to do work.
21. The members at my unit are encouraged to explore alternative solutions to problems.

22. The members at my unit are encouraged to maintain mental and physical well-being.
23. The members at my unit take pride in the unit.
24. The members of my unit align their personal behaviors with the CG Core Values (Honor, Respect, Devotion to Duty)
25. I am held accountable for my actions.
26. The people I work with cooperate and work as a team to accomplish the mission.
27. When making decisions, leaders at my unit consider and assess risks.
28. Supervisors let members know how their work contributes to the unit's mission and goals.
29. The members of my unit recognize and use the chain of command appropriately.
30. Members of my unit provide accurate and timely information up the chain of command so our leaders can make good decisions.
31. I seek feedback from others and look for opportunities to learn and develop.
32. The people I work with demonstrate technical expertise in their areas of responsibility.
33. My supervisor motivates me to perform by directing, delegating, coaching, and mentoring as the situation requires.
34. The people I work for create an environment that supports diversity, fairness, dignity and compassion
35. Members of my unit minimize conflict by building strong work relationships with each other.
36. My unit has an inspiring, long-term vision that is clearly communicated, widely shared, and understood.

## APPENDIX C: ACTION PLANS

### MEMORANDUM

From: Felicia K. Raybon

To: Chief, P Division

Thru: Deputy P Division

Subj: UNIT LEADERSHIP DEVELOPMENT PROGRAM (ULDP) ACTION PLAN

Ref: (a)

1. As per reference (a), the ULDP became effective and mandatory on 1 July 2005. P Division instituted its ULDP in March 2005 with the program's First Phase which included an initial P Division ULDP assessment.
2. An all hands training meeting was held to provide an overview of the ULDP and present the results from the P Division's ULDP Assessment Report. The leadership assessment examined 19 leadership categories. Out of the 19 categories, the assessment identified 4 leadership competency "gaps" (yellow). These "gaps" were:
  - Mentoring
  - Influencing Others
  - Vision, Development, & Implementation
  - Management & Process Improvement
3. The Second Phase of the Pm Division ULDP, is to prepare an "Action Plan" describing P Division's direction and anticipated interventions to bridge the four identified leadership competency "gaps."
4. Recommended Action Plan:
  - Coordinate necessary training to bring the unit to a satisfactory (green) status in all categories. Possible training activities:
    - Recommend/ Require selected reading list emphasizing areas needing improvement.
    - Provide training on ULDP website.
  - Create a Leadership Library with recommended leadership books.
  - Improve the accessibility of information to personnel in P Division through e-mail, website, or newsletter with links to leadership training courses and articles.
  - Improve P Division ULDP POC leadership skills and competencies by:
    - Utilizing the recommended training courses available on the ULDP website.
    - Seeking outside educational opportunities.

- Conduct an all hands meeting, by 30 September, explaining and implementing P Division's Action Plan.
  - Conduct a Follow-on Assessment NLT 30 November 2005.
  - Present results of Follow-on Assessment with updated Action Plan by 30 January 2006.
4. Expected results:
- Turn the four identified "gaps" (yellow) into "strengths" (green) by the next required ULDP Assessment.
  - Meet Commandant's People priorities and requirements.
  - Improve our leadership and followership skills.

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# MEMORANDUM

From: LT Felicia K. Raybon

To: Chief, P Division

Thru: Deputy, P Division

Subj: UNIT LEADERSHIP DEVELOPMENT PROGRAM (ULDP) ACTION PLAN

Ref: (a)

1. As per reference (a), the ULDP became effective and mandatory on 1 July 2005. P Division instituted its ULDP in March 2005 with the program's First Phase which included an initial P Division ULDP assessment. An all hands training meeting was held to provide an overview of the ULDP and present the results from the P Division's ULDP Assessment Report. An "Action Plan" was developed and implemented following the first assessment.

2. A second assessment was conducted in December 2005. The command assessment is directly linked to Organization X competencies. Out of the 19 elements, the assessment identified 3 leadership competency "gaps" (yellow). These "gaps" were:

- Mentoring
- Influencing Others
- Vision, Development, & Implementation

5. The Second Phase of the P Division ULDP, is to prepare an "Action Plan" describing P Division's direction and anticipated interventions to bridge the three identified leadership competency "gaps."

6. Recommended Action Plan:

- Coordinate necessary training for the unit.
  - Coordinate outside Leadership training. Bring in guest speaker from Leadership and Development Center.
- Continue to improve on the existing Leadership Library with Organization X Reading List and recommended leadership books.
- Improve the accessibility of information to personnel in P Division through e-mails, leadership website links, and/or leadership newsletters.
- Improve Pp Division ULDP POC leadership skills and competencies by:
  - Utilizing the recommended training courses available Organization X ULDP website.
  - Seeking outside educational opportunities.



- Conduct an all hands meeting, by 30 January 2006. Present the proposed Action Plan and the results from the P Division's ULDP December Assessment Report.
  - Conduct a Follow-on Assessment NLT 30 Jun 2006.
4. Expected results:
- Turn the three identified "gaps" (yellow) into "strengths" (green) by the next required ULDP Assessment.
  - Meet Commandant's People priorities and requirements.
  - Improve our leadership and followership skills.

# MEMORANDUM

From: LT Felicia K. Raybon

To: Chief, P Division

Thru: Deputy, P Division

Subj: UNIT LEADERSHIP DEVELOPMENT PROGRAM (ULDP) ACTION PLAN

Ref: (a)

1. As per reference (a), the ULDP became effective and mandatory on 1 July 2005. P Division instituted its ULDP in March 2005 with an all hands training and initial P Division ULDP assessment followed by an Action Plan. The second Assessment and Action Plan was completed in December 2006.

2. The third assessment was conducted in July 2006. Out of the 19 competencies, the assessment identified 12 leadership competency “gaps.” These “gaps” scored between 2.55 to 3.66 and were identified with the color “yellow”. This assessment did not identify any competencies 2.54 or below. The competencies that scored in the “yellow” are listed below.

- a. Align Values
- b. Personal Conduct
- c. Effective Communications
- d. Team Building
- e. Taking Care of People
- f. Mentoring
- g. Influencing Others
- h. Vision, Development, and Implementation
- i. Decision Making
- j. Conflict Management
- k. Management and Process Improvement
- l. Creativity and Innovation

3. The competencies that scored the lowest were:

- a. Mentoring - 2.9
- b. Vision, Development and implementation - 2.8.

The two competencies with the greatest negative deviation from the December 2006 Assessment were:

- Decision Making – 17% change
- Vision, Development, and Implementation - 20% change

4. Recommended Action Plan:

- Focus on the two areas that scored the lowest
  - Vision, Development and Implementation
  - Mentoring
- Vision, Development, and Implementation
  - Conduct “All Hands” at least once a month
    - Discuss ongoing issues from each department
  - Conduct Bi-monthly meetings with Department Heads
- Mentoring
  - Provide information and guidance on
    - future career options within Prevention.
    - civilian training opportunities.
    - Evaluation writing
  - Ensure counseling is completed between reported on officer and supervisor.
- Conduct an all hands meeting, by 30 September. Present the proposed Action Plan and the results from the P Division’s ULDP July Assessment Report.
- Conduct a Follow-on Assessment NLT 28 Feb 2007.

5. Expected results:

- Improve the 2 lowest competencies by the next required ULDP Assessment.
- Meet Commandant’s People priorities and requirements.
- Improve our leadership and followership skills.

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